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PTO/SB/05 (2/98)

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**UTILITY
PATENT APPLICATION
TRANSMITTAL**

(Only for new nonprovisional applications under 37 CFR 1.53(b))

Attorney Docket No. 16762.093A

First Named Inventor or Application Identifier Northington

Title Open-Architecture System for Real-Time Consolidation of
Information from Multiple Financial Systems

Express Mail Label No.

APPLICATION ELEMENTS

See MPEP chapter 600 concerning utility patent application contents

ADDRESS TO: Assistant Commissioner for Patents
Box Patent Application
Washington, DC 20231

1. ☐ *Fee Transmittal Form (Form PTO-1082)
(Submit an original and a duplicate for fee processing)
2. ☒ Specification [Total Pages 29]
(preferred arrangement set forth below)
- Descriptive title of the invention
 - Cross References to Related Applications
 - Statement Regarding Fed sponsored R&D
 - Reference to Microfiche Appendix
 - Background of the Invention
 - Brief Summary of the Invention
 - Brief Description of the Drawings (if filed)
 - Detailed Description
 - Claims
 - Abstract of the Disclosure
3. ☒ Drawing(s) (35 USC 113) [Total Sheets 11]
4. Oath or Declaration [Total Pages 3]
- a. ☐ Newly executed (original or copy)
- b. ☒ Copy from a prior application (37 CFR 1.63(d))
(for continuation/divisional with Box 17 completed)
[Note Box 5 below]
- i. ☐ **DELETION OF INVENTOR(S)**
Signed statement attached deleting inventor(s) named
in the prior application, see 37 CFR 1.63(d)(2) and
1.33(b).
5. ☒ Incorporation By Reference (useable if Box 4b is checked)
The entire disclosure of the prior application, from which a copy
of the oath or declaration is supplied under Box 4b, is considered
as being part of the disclosure of the accompanying application
and is hereby incorporated by reference therein.

6. ☐ Microfiche Computer Program (Appendix)
7. Nucleotide and/or Amino Acid Sequence Submission
(if applicable, all necessary)
- a. ☐ Computer Readable Copy
- b. ☐ Paper Copy (identical to computer copy)
- c. ☐ Statement verifying identity of above
copies

ACCOMPANYING APPLICATION PARTS

8. ☐ Assignment Papers (cover sheet & document(s))
9. ☐ 37 CFR 3.73(b) Statement ☐ Power of
(when there is an assignee) Attorney
10. ☐ English Translation Document (if applicable)
11. ☐ Information Disclosure ☐ Copies of IDS
Statement (IDS)/PTO-1449 Citations
12. ☒ Preliminary Amendment
13. ☒ Return Receipt Postcard (MPEP 503) (Two)
(should be specifically itemized)
14. ☐ *Small Entity ☐ Statement filed in
Statement(s) prior application,
Status still proper
and desired
15. ☐ Certified Copy of Priority Document(s)
(if foreign priority is claimed)
16. ☐ Other:

*NOTE FOR ITEMS 1 & 14: IN ORDER TO BE ENTITLED TO PAY SMALL ENTITY
FEES, A SMALL ENTITY STATEMENT IS REQUIRED (37 C.F.R. § 1.27), EXCEPT IF
ONE FILED IN A PRIOR APPLICATION IS RELIED UPON (37 C.F.R. § 1.28).

17. If a CONTINUING APPLICATION, check appropriate box and supply the requisite information:

☒ Continuation ☐ Divisional ☐ Continuation-in-part (CIP) of prior application No: 09/166,069

Prior Application Information: Examiner: M. Tesfamariam Group/Art Unit: 2764

18. CORRESPONDENCE ADDRESS

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or ☐ Correspondence address below

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Signature	<i>Andrea G. Reister</i>			Date	August 16, 2000

Burden Hour Statement: This form is estimated to take 0.2 hours to complete. Time will vary depending upon the needs of the individual case. Any comments on the amount of time you are required to complete this form should be sent to the Chief Information Officer, Patent and Trademark Office, Washington, DC 20231. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Assistant Commissioner for Patents, Box Patent Application, Washington, DC 20231.

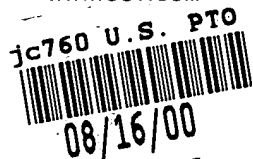
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August 16, 2000



Box Patent Application

Commissioner for Patents
Washington, D.C. 20231

Re: New U.S. Non-Provisional Utility Patent Application
Appl. No.: To be assigned; Filed: Herewith
Continuation of U.S. Appl. No. 09/166,069, filed: October 5, 1998
For: Open-Architecture System for Real-Time Consolidation
of Information from Multiple Financial Systems
Inventors: Cathy C. Northington and Louis J. Goodson
Our Ref: 16762.093A

Sir:

Transmitted herewith for filing under 37 C.F.R. § 1.53(b) is a **continuation** application of prior Appl. No. 09/166,069, consisting of the following documents:

1. Utility Patent Application Transmittal Form PTO/SB/05;
2. U.S. Utility Patent Application, entitled:

**Open-Architecture System for Real-Time Consolidation
of Information from Multiple Financial Systems**

and naming as inventors:

Cathy C. Northington and Louis J. Goodson

the application comprising:

- a. The specification containing:
 - (i) 25 pages of description prior to the claims;

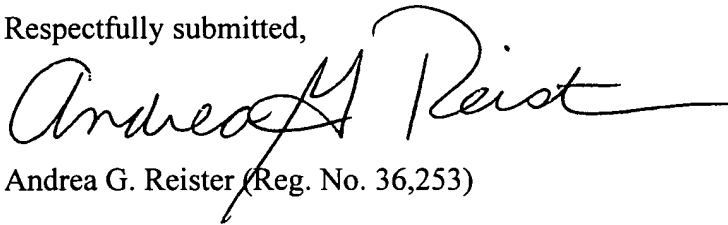
Assistant Commissioner for Patents
August 16, 2000
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- (ii) 3 pages of claims (10 claims);
- (iii) a one (1) page abstract;
- b. 11 sheets of drawings: (Figures 1, 1A, 1B, 2, 3, 4, 5, 6, 7, 8 and 9);
- c. Copy of the executed inventors' Declaration from prior application no. 09/166,069;
- 3. Preliminary Amendment; and
- 4. Two (2) return post cards.

It is respectfully requested that, of the two attached postcards, one be stamped with the filing date of these documents and returned to our courier, and the other, prepaid postcard, be stamped with the filing date and unofficial application number and returned as soon as possible.

This patent application is being submitted under 37 C.F.R. § 1.53(b) without filing fee.

Respectfully submitted,



Andrea G. Reister (Reg. No. 36,253)

Enclosures

009130-45622900